Risk Assessment Rating of Sub-Area *(or MCA, if no sub-areas)*

Management Control Area	Sub-Area	Date

Please check "Yes" or "No" for each of the following questions. Comments should be completed when a specific system or process needs enhancement instead of the total system or process. *Make as many copies of this form as necessary to rate each sub-area.*

High Risk?*	Risk Assessment Questions	Yes	No	Comments
Inherent Risk				
Yes	1. Has the functional area been free of cited material weaknesses within the last five years (by Congress, GAO, OIG, OS, PHS or by any other review or certification process) that have not been fully corrected and verified?			
	2. Has the functional area been free of a high level of political or public interest?			
Yes	3. *If applicable,* does the functional area have assurances for the protection of humans from research risks or the safety of animals?			N/A _____
Yes	4. Has the functional area been free of a reported potential or actual loss of $10 million or more in a fiscal year due to weaknesses?			
	5. Does the functional area have clearly stated and current policies and operating procedures (SOPs)? (e.g., appropriate separation of duties, systematically organized in manuals or handbooks)			
	6. Does the functional area follow the appropriate Delegations of Authority?			
General Control Environment				
Yes	7. Does the functional area have effective documented financial and operating controls or checks and balances over assets and information to protect against fraud, waste, abuse, mismanagement and conflicts of interest? (Use Appendix 1 to provide information on management controls in place and tests used to determine compliance.)			
	8. Does the functional area periodically monitor these financial and operating controls by management?			
Yes	9. Does the functional area have relevant and periodic management information system data or reports to adequately manage, monitor and evaluate performance of significant activities (including management controls)?			
Yes	10. Are there procedures to ensure that data integrity and security are routinely validated and deficiencies corrected? (e.g., Security analysis has been conducted in the past three years or deficiencies cited have been corrected.)			
	11. Does the functional area have appropriate distribution of policies and procedures accompanied by training?			
	12. Does the functional area have a methodology for monitoring internal and external compliance to policies and procedures?			
	13. Does the functional area adjust its plans to be appropriate and reasonable in light of the actual operating budget? (i.e., Does the functional area properly establish and integrate budget and planning systems to control resources?)			
	14. Does the functional area have trained and competent personnel to properly manage the activity (including knowledge and training related to management controls)?			

*A "No" to any of the high risk items *automatically* puts the sub-area (or the MCA, if no sub-areas) into a high risk category.	***Rating Key*** 2 or fewer "No" = Low Risk 3 to 4 "No" = Medium Risk 5 or more "No" = High Risk	Total "No" responses=	**Rating =**